

ARIZONA DEPARTMENT OF VETERANS" SERVICES

INTERNAL MANAGEMENT POLICY 00-01

SUBJECT: E-MAIL USE

EFFECTIVE DATE: July 1st, 2000

- 1.0 POLICY: It is the policy of the Arizona Department of Veterans" Services (ADVS) to provide guidance on the proper use, preservation, disclosure and disposition of electronic mail. This policy, based on State law, describes the legitimate use of electronic mail with special emphasis on records-related issues.
- 2.0 AUTHORITY: A.R.S. §41-604, Duties and powers of the (ADVS) director; §41-3504.A.1.(13.) Powers and duties of the (GITA) agency; violation; classification; and §41-1350 Records definition.
- 3.0 RESPONSIBILITY: E-mail users are responsible for complying with the policy and attending annual E-mail training. The IT Department is responsible for providing education on E-mail use and giving employees acknowledgement forms to be signed. Supervisors are responsible for notifying IT when employees require initial training and collecting signed acknowledgements from employees. ADVS Human Resources is responsible for filing acknowledgements in the official personnel file. Violation of this policy may result in revocation of the privilege and/or disciplinary action.
- 4.0 DEFINITIONS:
 - 4.1 "E-Mail" means a communications tool (Electronic-mail) made available to certain agency employees for the performance of their duties. The purpose of E-mail is to provide expeditious communication among Arizona Department of Veterans" Services employees, similar to oral conversation and voice mail.
 - 4.2 "E-mail User" means an agency employee, contract employee or other agency-authorized person who accesses E-mail through the use of state/agency owned/controlled computer equipment.
 - 4.3 "GITA" means Government Information Technology Agency, the agency responsible for providing state agencies statewide guidelines on information technology.
 - 4.4 "Information Technology" (IT) means all computerized and auxiliary automated information processing, telecommunications and related technology, including hardware, software, vendor support and related services, equipment and projects.

- 4.5 'Information Technology Department' means the ADVS Department responsible for all aspects of information technology for the agency (including E-mail accounts for agency personnel).
- 5.0 PROCEDURES: The IT Department shall be responsible for agency compliance with the provisions of this policy and for investigating suspected non-compliance. If in doubt, E-mail users should seek policy clarification from their direct supervisor or the IT Department.
- 5.1 E-mail users are responsible for complying with the following usage requirements in receiving/sending/maintaining E-mail messages:
- 5.1.1 All state employees with access to the E-mail must acknowledge and consent that all network activity is the property of the Arizona Department of Veterans' Services and the State of Arizona, and therefore should not consider any E-mail activity to be private.
 - 5.1.2 E-mail should be used for matters that pertain directly to agency business and the business of the State of Arizona.
 - 5.1.3 E-mail communications shall be professional in content; appropriate to a government agency; in compliance with agency and statewide policy; and consistent with other agency policies and procedures.
 - 5.1.4 Agency work rules governing use of State property, record keeping and communications with others, apply to the use of E-mail. Users should never send an E-mail communication they would not feel comfortable communicating face-to-face or over the phone.
 - 5.1.5 No E-mail communications shall be created or sent that might constitute discriminatory, harassing, intimidating, hostile or offensive communications based on gender, race, color, national origin, sexual orientation, disability, or other grounds.
 - 5.1.6 Employees shall not read the E-mail of another employee without a legitimate business purpose consistent with the agency's policies and business communications practice.
 - 5.1.7 No employee shall send E-mail under another person's name without that person's authorization, and the sender shall indicate his or her identity in the message.
 - 5.1.8 Employees shall follow all security policies of the agency as set forth in section 5.2 of this internal management policy.

- 5.1.9 In general, employees shall be expected to use reasonable judgment in the performance of their duties and failure to do so may subject them to discipline consistent with the policies of the agency.
- 5.2 E-mail is not secure. E-mail transmitted inside the agency is more secure than E-mail transmitted to state agencies on the Multiple Agency Network (MAGNET), and far more secure than E-mail transmitted via the Internet.
 - 5.2.1 The agency may establish additional levels of security, ranging from password protection to authentication and encryption. The IT Department will work with supervisors to determine appropriate security levels for various E-mail accounts.
 - 5.2.2 No Privacy in E-mail. Employees using E-mail shall have no expectation of privacy related to the use of this technology.
- 5.3 Ownership of E-mail. The E-mail accounts and the contents thereof are property of the Arizona Department of Veterans' Services and the State of Arizona.
 - 5.3.1 All messages created in the system belong to the State, not employees, vendors or customers.
 - 5.3.2 The agency reserves the right to monitor E-mail use by any user at any time.
- 5.4 The E-mail user is responsible for determining which E-mail messages are records and which have no continuing value to the agency.
 - 5.4.1 When an E-mail message is a record, then the E-mail message and related transmission and receipt data shall be retained in accordance with State statutes and approved records disposition schedules for the applicable record series. See section 5.6 below for additional information.
 - 5.4.2 E-mail messages of only transitory value need not be saved. See section 5.6 below for additional information.
 - 5.4.3 Agency management is responsible for creating and distributing E-mail records policies, appropriate to the agency's business needs and for implementing those policies, including training.
 - 5.4.4 End users are responsible for managing E-mail messages they receive and properly identifying, classifying, retaining, and disposing of messages, in accordance with statewide and agency policies, as well as the technical means at their disposal.
- 5.5 Unacceptable use of agency E-mail. E-mail shall not be used for the following:
 - 5.5.1 Personal business or personal gain.
 - 5.5.2 Soliciting.
 - 5.5.3 Political campaigning.
 - 5.5.4 Unethical, illegal, unprofessional or disruptive activities.

- 5.5.5 Any activity that would jeopardize the legitimate interests of the State or the citizens and Veterans' of the State of Arizona.
- 5.6 E-mail records retention and disposition. E-mail may be used to facilitate routine matters such as scheduling meetings and conference calls; notification of legal and policy issues to be resolved in more formal communication; requests for information; or directives to complete tasks; and notification of employees' whereabouts (e.g., vacations, conference, out-of-office).
- 5.6.1 Employees who transmit E-mail shall determine whether to preserve or delete the E-mail communication, as follows:
- 5.6.1.1 Routine E-mail, of transitory value, may be deleted after the appropriate action is taken. No paper or computer record need be preserved unless the communication is subject to retention under this policy.
- 5.6.1.2 Communication that meets the definition of a record under A.R.S § 41-1350, transmitted inside the agency, or received from outside the agency, through the E-mail system, shall be printed and preserved in the appropriate file, in permanent paper format or preserved, unedited, in the E-mail system without printing.
- 5.6.1.2.1 An excerpt from the statute that defines "record" reads, "made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein."
- 5.6.1.2.2 With every communication that qualifies as a record, the sender shall, ensure that:
- 5.6.1.2.2.1 The time and date the message was sent and received; the complete sender and receiver identification, and; the complete message, are preserved.
- 5.6.1.2.2.2 The E-mail may be preserved as any other type of record by being either printed out and preserved in the hardcopy file, or preserved in an electronic archive.
- 5.6.2 Communications subject to an existing public records request, or to formal discovery in ongoing litigation, will be preserved in the appropriate file or the E-mail system.

- 5.7 IT Department responsibilities relative to E-mail:
 - 5.7.1 E-mail systems will be backed up regularly.
 - 5.7.1.1 The E-mail data backup will be deleted pursuant to the Department of Library, Archives and Public Records' approved Records Disposition Schedule for the agency.
 - 5.7.1.2 The IT Department will document its schedule for E-mail backup and provide a copy of the systems backup to GITA.
 - 5.7.1.3 Periodic record of E-mail system address books and distribution lists will be retained pursuant to the Department of Library, Archives and Public Records' approved Records Disposition Schedule for the agency.
 - 5.7.2 Employees will also be provided with E-mail use policies.
 - 5.7.2.1 New employees shall not be granted access to the E-mail system until they have received training.
 - 5.7.2.2 E-mail training shall, at least once per year, be provided to all employees interested in attending.
 - 5.7.3 ADVS shall, at least once per year, perform a random documented audit of employee E-mail use.
 - 5.7.3.1 The audit shall, at a minimum, include review of E-mail messages transmitted and received by a reasonable percentage of E-mail users, to be determined by the Arizona Department of Veterans' Services director.
 - 5.7.3.2 The IT Department Manager may access E-mail, at any time, to ensure compliance with this policy.
 - 5.7.3.3 Agency employees with questions regarding records retention should contact their supervisor and refer to A.R.S. §§ 41-1347, 41-1350, and 39-121.01(B).
 - 5.7.3.4 If in doubt, Internet users should seek policy clarification from an appropriate Arizona Department of Veterans' Services supervisory authority.

- 6.0 IMPLEMENTATION: This policy shall be implemented without change on the effective date.

Patrick F. Chorpensing, Director

ATTACHED: E-MAIL USAGE POLICY ACKNOWLEDGEMENT FORM